

Alabama Senate



Functional Analysis & Records Disposition Authority

**Presented to the
State Records Commission
October 23, 2013**

Table of Contents

Functional and Organizational Analysis of the Alabama Senate	3
Sources of Information.....	3
Historical Context	3
Agency Organization	3
Agency Function and Subfunctions	4
Analysis of Record Keeping System and Records Appraisal of the Alabama Senate	6
Agency Record Keeping System	6
Records Appraisal	6
Permanent Records List	10
Alabama Senate Records Disposition Authority.....	11
Explanation of Records Requirements.....	11
Records Disposition Requirements	12
Legislating.....	12
Representing.....	13
Administering Internal Operations: Managing the Agency	13
Administering Internal Operations: Managing Finances	15
Administering Internal Operations: Managing Human Resources	16
Administering Internal Operations: Managing Properties, Facilities, and Resources	17
Requirements and Recommendations for Implementing the Records Disposition Authority (RDA)	19

Functional and Organizational Analysis of the Alabama Senate

Sources of Information

- Staff Members of the Alabama Senate
- Alabama Government Manual (2010), pp. 615-616, pp. 618-619
- Constitutions of Alabama (1819, 1861, 1865, 1868, 1875, and 1901)
- Alabama Department of Archives and History's files relating to the Senate
- Alabama Law Institute, *The Legislative Process: A Handbook for Alabama Legislators*, 3rd ed.
- Code of Alabama 1975 § 29-1-1.2 through § 29-1-26; § 29-4-20 through § 29-4-26
- Senate website: www.legislature.state.al.us/senate/senate.html

Historical Context

The Legislature of Alabama evolved from the territorial general assemblies of the Mississippi Territory (1798-1817) and the Alabama Territory (1817-1819) as first established by the terms of the Northwest Ordinance of 1787. The first general assembly of the Alabama Territory was held at the temporary seat of government at St. Stephens, Washington County. The next temporary seat of government was Huntsville, Madison County, where the Constitution of Alabama of 1819 was written and approved. The Constitution of 1819 established a bicameral legislative body, with the Senate assigned the duties and functions of the upper chamber of the Legislature. The Constitution of Alabama of 1901 further defines the role and responsibilities of the Senate.

Agency Organization

The Constitution of 1901 set the Senate membership at 35. The Constitution of 1901 requires senators to be at least 25 years old at the time of election, and that they be U.S. citizens who have lived in Alabama for at least three (3) years and in their district for at least one (1) year prior to election. Members are elected from single-member districts for four-year terms with no term limits. Since both houses of the Legislature operate mainly through committees in doing their work of considering bills, the Senate has in place a number of standing committees, interim committees/task forces, and permanent committees. Each is set up to consider bills relating to a particular subject of legislation.

Under the Constitution of 1901, the lieutenant governor is designated as the *ex officio* president and presiding officer of the Senate. In addition, the Senate must elect one of its members as president pro tempore, to preside over its deliberations in the absence of the lieutenant governor. The Secretary of the Senate is elected by members of the Senate and is responsible for presiding and organizing the Senate in the absence of both the lieutenant governor and president pro tempore; certifying compensation and expenses of the officers, members, and employees of the Senate; preparing, certifying, filing, and delivering the Senate Journals and all Senate papers relating to a session to the Secretary of State; exercising care, custody and control of the space

and equipment used by the Senate; and employing and supervising all Senate employees. In addition, the Senate is staffed with a clerk of the Senate, chief clerk, assistants, clerks, and other necessary personnel who are not part of the state employee merit system.

In addition, the Reapportionment Office and Legislative Computer Center are operated jointly with the House of Representatives.

Agency Function and Subfunctions

The mandated functions of the Alabama Senate are to create and amend laws, make appropriations, propose constitutional amendments, participate in the impeachment process, establish or abolish governmental units and agencies, investigate governmental operations, hold hearings, create corporate bodies, and confirm or reject gubernatorial appointments. It is one of the agencies responsible for performing the Policy and Statute Development function of Alabama government.

In performance of its mandated functions, the Alabama Senate may engage in the following subfunctions.

- **Legislating.** This subfunction involves the legislative process including, but not limited to, enacting bills into laws, allocating funds, proposing constitutional amendments, and establishing or abolishing government agencies. Before a bill becomes an act, it must pass through several steps, including three readings in the Senate chamber, committee consideration, possible amendment and substitution, passage by a majority of the senators present during the vote, and passage in the House. The Senate is also responsible for allocating funds.
- **Representing.** Senators represent their constituents in two ways. First, they are expected to take the needs of their constituents into consideration when creating policy. Second, the senators facilitate in state government services for their constituents. In carrying out this subfunction, the Senate provides the public with copies of legislation and other public records, provides public tours of the Senate facility, and assists constituents as needed.
- **Administering Internal Operations.** A significant portion of the agency's work includes general administrative, financial, and personnel activities performed to support the programmatic areas of the agency.

Managing the Agency: Activities include internal office management activities common to most government agencies such as corresponding and communication; scheduling; meeting; documenting policy and procedures; reporting; litigating; drafting, promoting, or tracking legislation; publicizing and providing information; managing records; and managing information systems and technology.

Managing Finances: Activities involved in managing finances may include the following: budgeting (preparing and reviewing a budget package, submitting the

budget package to the Department of Finance; documenting amendments and performance of the budget); purchasing (requisitioning and purchasing supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received); accounting for the expenditure, encumbrance, disbursement, and reconciliation of funds within the agency's budget through a uniform system of accounting and reporting; authorizing travel; contracting with companies of individuals; bidding for products and services; and assisting in the audit process.

Managing Human Resources: Activities involved in managing human resources may include the following: recruiting and hiring eligible individuals to fill vacant positions within the agency; providing compensation and benefits to employees; supervising employees (evaluating performance, disciplining, granting leave, and monitoring the accumulation of leave); and providing continuing education for employees.

Managing Properties, Facilities, and Resources: Activities involved in managing properties, facilities, and resources may include the following: inventorying and accounting for non-consumable property and reporting property information to the appropriate authority; constructing buildings and facilities; leasing and/or renting offices or facilities; providing for security and/or insurance for property; and assigning, inspecting, and maintaining agency property, including vehicles.

Analysis of Record Keeping System and Records Appraisal of the Alabama Senate

Agency Record Keeping System

The department currently operates a hybrid record keeping system composed of paper and electronic records.

Paper-Based System: The department continued to utilize paper as a component of its records keeping system.

Computer-Based System: The Legislative Computer Center is responsible for the electronic records of the Senate, House of Representatives, and Legislative Reference Service. The center has over twenty servers that run Windows 2003 and two database Oracle servers. All servers are backed up each night Monday—Friday. On the weekend, the database servers are backed up to tape, while the Windows servers have a full image backup to disk. On Mondays, the backup server containing the previous week's Windows server disk backups are backed up to tape. On Tuesdays, the backup tapes are picked up by ACCESS and stored at the company's Montgomery location in its fireproof, waterproof, climate controlled underground facility. The backups are on a two-month rotation. The Senate's email server is located and maintained by the Alabama Supercomputer Authority. The Senate uses Microsoft Office 2007 Standard suite. The Senate's staff uses FHRS for accounting and GHRS for payroll management. These programs are managed by ISD.

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the Alabama Senate: Temporary Records and Permanent Records.

I. Temporary Records. Temporary records should be held for what is considered to be their active life and disposed of once all fiscal, legal and administrative requirements have been met. Some of the temporary records created by the department are discussed below:

- **Tab Sheets.** Known as "Jimmy Sheets" in the House of Representatives, Tab Sheets are the unofficial, handwritten minutes of what happens in the Senate Chamber during the legislative session, recording votes, motions, and other items of business transacted in the Senate Chamber. Information in the sheets is entered into ALIS (Alabama Legislative Information Systems) to update bill statuses during the session. After a bill's second reading, the bill is proofed against the tab sheet. The sheets are used to write the Senate Journal. The value of the log diminishes after the Senate Journal is published.
- **Senate Roll Calls.** This series documents each senator's vote on particular items of legislation. Although voting records are published in the Senate Journal, these roll calls provide authentic documentation of the agency's major functioning. Since identical

information is also available in the Senate Journal, this series' value diminishes after the Senate Journal is published.

- **Senate Calendar.** This series contains the proposed schedule for the Senate, day by day, but is often fragmentary and incorrect. The Senate Journals are more complete and accurate. The recommended retention for this series is to destroy the records after the publication of the Senate Journal.
- **Records documenting an employee's work history.** Senate employees are not part of the merit system for state employees; thus, the Personnel Department does not hold their personnel records. The recommended 25-year retention is the same retention for non-merit employees' work histories held by other state agencies.
- **Records documenting final leave status.** Senate employees are not part of the merit system for state employees; thus, the Personnel Department does not hold their personnel records. The recommended 25-year retention is the same retention for non-merit employees' work histories held by other state agencies.

II. Permanent Records. The Government Records Division recommends the following records as permanent.

Legislating

- **Dead Bills.** This series consists of bills that do not pass the Senate as well as the originals of bills that have been passed with amendments or substitutions. The amendments stay with the original bills when transferred to the Alabama Department of Archives and History. This series is permanent as it documents the lawmaking process. **(Bibliographic Title: Dead Bills)**
- **Engrossed Bills.** Following passage of a bill, including any substitutions and amendments in the Senate, the bill is engrossed (a copy is produced of the bill as it was amended in the Senate) in preparation to being sent to the House of Representatives. This series is permanent as it documents the lawmaking process. **(Bibliographic Title: Engrossed Bills)**
- **Senate Committee Files.** This series consists of records of various committees within the Senate. Committees may include standing committees, interim committees, task forces, and permanent committees. Included in the files are copies of the bills referred to the committee, fiscal notes, requests for public hearings, information on committee amendments and substitutes, the actions taken on each bill, the roll call vote for bills, committee reports, vote sheets, attendance at committee meetings, and other related documentation. Under the Constitution of 1901, in order for a bill to become a law, it must have been referred to, acted upon by, and returned from a standing committee in each house. This series is permanent as it documents the lawmaking process. **(Bibliographic Title: Senate Committee Files)**

- **Senate Journals, Registers, Resolutions, and Joint Resolutions.** Alabama's Constitution requires each house of the Legislature to keep a journal of its proceedings, which must be certified, indexed, and published after the adjournment of the session to which it relates. Registers are handwritten bill status on all legislation introduced and includes all actions to a bill. They are used as a tool to check and index the Senate Journal. The Alabama Legislature employs two types of resolutions: simple resolutions related to the affairs of a single house and are passed by that house only, while joint resolutions deal with matters affecting the entire Legislature and must be passed by both houses. All of these records are published in bound volumes for permanent preservation. **(Bibliographic Title: Senate Journals, Registers, Resolutions, and Joint Resolutions)**
- **Confirmations and Appointments.** Under the Constitution of 1901, the Senate is responsible for confirming certain appointees, such as members of the governor's cabinet and university trustees. These files may include, but are not limited to, letters confirming the appointment sent to the governor and the appointee and information on the appointee. These records document a required function of the Legislature. **(Bibliographic Title: Confirmations and Appointments)**

Representing

- **Senators' Letters of Resignation.** These records document the resignation of senators. **(Bibliographic Title: Senators' Letters of Resignation)**
- **Senate Rule 42 Certificate Books.** The Rules of the Alabama Senate require each senator to file a statement of compensation received in the previous year from businesses regulated by the Public Service Commission. This series consists of bound volumes of statements that list the names and addresses of each public utility, public service, or other business or industry subject to regulation by the Public Service Commission that a senator has been connected with as an agent, employee, officer, director, or attorney, or from which they received compensation or concession in the previous year. Each senator completes and signs his/her own statement. **(Bibliographic Title: Senate Rule 42 Certificate Books)**
- **Senate Member Photo Gallery (Database).** This database provides the public an opportunity to view and share pictures of activities of members of the House during the legislative session. Photos, taken by the staff of the Member Services Office, are grouped by the date and available for download and printout. This database should be preserved to document activities of members of the House. **(Bibliographic Title: Senate Member Photo Gallery)**

Administering Internal Operations

- **Publications.** The agency creates publications including, but not limited to, informational handouts and Senate directories. These publications provide documentation of department's program activities and information on senators. **(Bibliographic Title: State Publications)**

- **Senate Membership Biographical Forms.** This series consists of biographical data of all members of the House. Information may include name, contact data, date of birth, education, military service, hobbies, occupation, religion, and family members. Senators complete the forms every four years after quadrennial elections. **(Bibliographic Title: Senate Membership Biographical Forms)**

- **Community Service Grant Records.** The purpose of the Alabama Community Service Grant Program is to advance program objectives, as specified in the Code of Alabama, Section 41-24-3, by awarding grants to qualified community agencies, institutions, organizations and projects within the State of Alabama. The Joint Legislative Advisory Committee on Community Service Grants reviews applications and makes initial recommendations for consideration by the State Executive Commission on Community Service Grants. This series consists of approved grant applications, supporting documents, payment printouts, payment vouchers, and copies of checks. Although meeting minutes of the State Executive Commission, maintained by the State Treasurer who acts as the secretary for the commission, are preserved as documentation of this program, this series needs to be preserved as it provides supplemental information to the program activities. **(Bibliographic Title: Community Service Grant Records)**

- **Press Releases.** This series consists of statements or announcements concerning the agency and its work issued for distribution to the media and the public. Included may be copies of news releases, published articles, photographs, typescripts of broadcast announcements, and other reference materials. A file may contain background data relative to the subject of the news release or newspaper clippings of the release. This series needs to be kept permanently as documentation of the agency's attempt to keep the public informed and to promote certain programs. **(Bibliographic Title: State Publications)**

- **Website and Social Media Site(s).** The agency has a website at www.legislature.state.al.us/senate/senate.html. Information on the website includes senator biographies, district map, zip code search to find senator, standing committees, rules, and Senate audio. This agency may also have other social media(s) that provide the public with a channel to interact with the agency. This series documents the functions of the agency and its interaction with the public. **(Bibliographic Title: Website)**

- **Photographs.** This series consists of photographs which may be taken by Senate staff or provided by constituents. These photographs serve as evidence of the Senate's activities and should be maintained permanently. **(Bibliographic Title: Publications)**

Permanent Records List Alabama Senate

Legislating

1. Dead Bills
2. Engrossed Bills
3. Senate Committee Files
4. Senate Journals, Registers, Resolutions, and Joint Resolutions
5. Confirmations and Appointments

Representing

1. Senators' Letters of Resignation
2. Senate Rule 42 Certificate Books
3. Senate Member Photo Gallery
4. Session Resolutions

Administering Internal Operations:

1. Publications
2. Senate Membership Biographical Forms
3. Community Service Grant Records
4. Press Releases
5. Website and Social Media Site(s)
6. Photographs

Alabama Senate Records Disposition Authority

This Records Disposition Authority (RDA) is issued by the State Records Commission under the authority granted by the Code of Alabama 1975 § 41-13-5 and § 41-13-20 through 21. It was compiled by the Government Services Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with representatives of the Alabama Senate. The RDA lists records created and maintained by the Alabama Senate in carrying out its mandated functions and activities. It establishes retention periods and disposition instructions for those records and provides the legal authority for the agency to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successor in office and made available to members of the public. Records must also be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975 § 36-12-2, § 36-12-4, and § 41-5-23). For assistance in implementing this RDA, or for advice on records disposition or other records management concerns, contact the ADAH Government Records Division at (334) 242-4452.

Explanation of Records Requirements

- This RDA shall govern the disposition of all records, regardless of format, created by the agency from its creation to dissolution. Please contact the staff of the Department of Archives and History before destroying any records created prior to 1940.
- This RDA supersedes any previous records disposition schedules and/or RDAs governing the retention of the Alabama Senate's records. Copies of superseded schedules or/and RDAs are no longer valid and should be discarded.
- The RDA establishes retention and disposition instructions for records listed below, regardless of the medium on which those records may be kept. Electronic mail, for example, is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.
- Some temporary records listed under the Administering Internal Operations subfunction of this RDA represent duplicate copies of records listed for long-term or permanent retention in the RDAs of other agencies.
- Certain records and records-related materials need not be retained as records under the disposition requirements in this RDA. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) catalogs, trade journals, and other publications received that require no action and do not document government activities; (3) stocks of blank stationery, blank forms, or other surplus materials that are not subject to audit and have become obsolete; (4) transitory records, which are temporary records created for

short-term, internal purposes that may include, but are not limited to: telephone call-back messages; drafts of ordinary documents not needed for their evidential value; copies of material sent for information purposes but not needed by the receiving office for future business; and internal communications about social activities; and (5) honorary materials, plaques, awards, presentations, certificates, and gifts received or maintained by the agency staff.. They may be disposed of without documentation of destruction.

Records Disposition Requirements

This section of the RDA is arranged by subfunctions of the Alabama Senate and lists the groups of records created and/or maintain by the agency as a result of activities and transactions performed in carrying out these subfunctions. The department may submit requests to revise specific records disposition requirements to the States Records Commission for consideration at its regular meetings.

Legislating

DEAD BILLS

Disposition: PERMANENT RECORD.

ENGROSSED BILLS

Disposition: PERMANENT RECORD.

SENATE COMMITTEE FILES

Disposition: PERMANENT RECORD.

SENATE JOURNAL, REGISTERS, RESOLUTIONS, AND JOINT RESOLUTIONS

Disposition: PERMANENT RECORD.

CONFIRMATIONS AND APPOINTMENTS

Disposition: PERMANENT RECORD.

Duplicate/Reference Copies of Engrossed/Enrolled Bills/Resolutions and Supporting Documents (Amendments, Substitutions, and Reports, etc.)

Disposition: Temporary Record. Retain 2 sessions.

Standard Cover Letters / Messages/ Reports to Transmit Engrossed/Enrolled Bills

Disposition: Temporary Record. Retain 1 year.

Receipt Books for the Delivery of Engrossed/Enrolled Bills

Disposition: Temporary Record. Retain 2 years.

Tab Sheets

Disposition: Temporary Record. Retain until the Senate Journal is published.

Roll Calls

Disposition: Temporary Record. Retain 4 years.

Senate Calendar

Disposition: Temporary Record. Retain until Senate Journal is published, then destroy.

Logbooks showing when bills have been assigned to committee

Disposition: Temporary Record. Retain until end of the session.

Updates to Secretary of State's boards and commissions website

Disposition: Temporary Record. Retain 3 years.

Representing**SENATORS' LETTERS OF RESIGNATION**

Disposition: PERMANENT RECORD.

SENATE RULE 42 CERTIFICATE BOOKS

Disposition: PERMANENT RECORD.

SENATE MEMBER PHOTO GALLERY

Disposition: PERMANENT RECORD.

Researcher List

Disposition: Temporary Record. Retain for useful life.

Press Passes

Disposition: Temporary Record. Retain until individual is no longer a member of the press corps.

Constituent Photographs

Disposition: Temporary Record. Retain for useful life.

Administering Internal Operations: Managing the Agency**PUBLICATIONS**

Disposition: PERMANENT RECORD.

SENATE MEMBERSHIP BIOGRAPHICAL FORMS

Disposition: PERMANENT RECORD.

COMMUNITY SERVICE GRANT RECORDS

Disposition: PERMANENT RECORD.

PRESS RELEASES

Disposition: PERMANENT RECORD.

WEBSITE AND SOCIAL MEDIA SITE(S)

Disposition: PERMANENT RECORD.

ADAH staff captures and preserves the agency's website and other social media sites via a service offered by the Internet Archive [Archive-It]. Check the ADAH section of the Archive-It website at www.archive-it.org/organizations/62 to ensure your agency's website and social media(s) are captured and preserved. If your agency's website and social media site(s) are not captured by the service, please contact the Government Services Division at 334-242-4452 to get them included.

PHOTOGRAPHS (including photographs with constituents)

Disposition: PERMANENT RECORD.

Routine Correspondence (includes research correspondence and correspondence relating to press conferences)

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Administrative Reference Files (includes agency reference files)

Disposition: Temporary Record. Retain for useful life.

Jon Morgan's Research Files

Disposition: Temporary Record. Retain for useful life.

Telephone Logs/Calendars

Disposition: Temporary Record. Retain 3 years.

Mailing Lists

Disposition: Temporary Record. Retain until superseded.

Shipping Records

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Board of Adjustment Case Files

Disposition: Temporary Record. Retain 5 years after the final disposition of the case.

Records documenting the implementation of the agency's RDA (copies of transmittals forms to Archives or State Records Center, evidence of obsolete records destroyed, and annual reports to the State Records Commission)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Copy of RDA

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the RDA is superseded.

System Documentation (hardware/software manuals and diskettes, warranties)

Disposition: Temporary Record. Retain documentation of former system 3 years after the end of the fiscal year in which former hardware and software no longer exists anywhere in the agency and all permanent records have migrated to a new system.

Service Requests

Disposition: Temporary Record. Retain until work is complete.

Administering Internal Operations: Managing Finances**Records documenting the preparation of a budget request package and reporting of the status of funds, requesting amendments of allotments, and reporting program performance**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records of original entry such as journals, registers, and ledgers, and records of funds deposited outside the state treasury

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting requests for authorization from supervisors to travel on official business and other related materials, such as travel reimbursement forms and itineraries

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Agency Audit Reports

Disposition: Temporary Record. Retain 6 years after end of the fiscal year in which the records were created.

Contractual records established for the purpose of services or personal property

Disposition: Temporary Record. Retain 6 years after expiration of the contract.

Records documenting the bid process, including requests for proposals and unsuccessful responses

- a. Original bid records maintained in the purchasing office of the agency for contracts over \$15,000

Disposition: Temporary Record. Retain 7 years after the end of the fiscal year in which the bids were opened.

- b. Duplicate copies of bid (where originals are maintained by the Finance Department - Division of Purchasing)
Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Administering Internal Operations: Managing Human Resources

Records documenting job recruitment

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Records documenting application for employment

Disposition: Temporary Record. Retain 1 year.

Position Classification Records

Disposition: Temporary Record. Retain 4 years after reclassification of the position.

Records documenting payroll (e.g. pre-payroll reports, payroll check registers)

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Records documenting payroll deductions for tax purposes (including Form 941)

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Records documenting an employee's work history – generally maintained as a case file

Disposition: Temporary Record. Retain 25 years after separation of employee from the agency.

Records documenting payroll (e.g. pre-payroll reports, payroll check registers)

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Records documenting payroll deduction authorizations

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Records documenting payroll deductions for tax purposes

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Records documenting an employee's hours worked, leave earned, and leave taken

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Records documenting sick leave donations

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Records documenting final leave status

Disposition: Temporary Record. Retain 25 years after separation of the employee from the agency.

Records documenting Equal Employment Opportunity (Code of Federal Regulations, Title 29)

a. Compliance Records

Disposition: Temporary Record. Retain 3 years after the close of the program year.

b. Complaint Records

Disposition: Temporary Record. Retain 3 years from the date of resolution of the complaint.

Employee Flexible Benefits Plan Files (applications and correspondence) Disposition:
Temporary Record. Retain 6 years after termination of participation in program.

Employees Administrative Hearing Files

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Records documenting the employee appeal of formal reprimands, personnel suits, demotions, transfers, or terminations

Disposition: Temporary Record. Retain 5 years following final decision.

Employee Flexible Benefits Plan Files (applications and correspondence)

Disposition: Temporary Record. Retain 6 years.

Records documenting the State Employee Injury Compensation Trust Fund (SEICTF) Claims

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Pages Files

Disposition: Temporary Record. Retain for useful life.

Administering Internal Operations: Managing Properties, Facilities, and Resources**ANNUAL INVENTORY LISTS IN AUDITOR'S SYSTEM**

Disposition: PERMANENT RECORD. Retain in office (Code of Alabama 1975 § 36-16-8[1]).

Agency Copies of Transfer of State Property Forms (SD-1)

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Property Inventory Affidavits

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Inventory Cards

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the items were removed from inventory.

Receipts of Responsibility for Property

Disposition: Temporary Record. Retain until return of item to property manager.

Incident/Accident Report

Disposition: Temporary Record. Retain 2 years following incident/accident.

Records documenting the use, maintenance, insurance, and disposition of vehicles leased by the agency

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the vehicle was removed from the property inventory.

Motor Pool Vehicle Use Records

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Insurance Policies/Risk Management Records

Disposition: Temporary Record. Retain 6 years after termination of policy or membership.

Parking Lot Assignments

Disposition: Temporary Record. Retain for useful life.

Building Card Key Assignments

Disposition: Temporary Record. Retain until superseded.

Security Camera Monitoring Recordings

Disposition: Temporary Record. Retain 6 months.

Requirements and Recommendations for Implementing the Records Disposition Authority (RDA)

Under the Code of Alabama 1975 § 41-13-21, “no state officer or agency head shall cause any state record to be destroyed or otherwise disposed of without obtaining approval of the State Records Commission.” This Records Disposition Authority constitutes authorization by the State Records Commission for the disposition of the records of the Alabama Senate (hereafter referred to as the agency) as stipulated in the document.

One condition of this authorization is that the agency submits an annual Records Disposition Authority (RDA) Implementation Report on agency records management activities, including documentation of records destruction, to the State Record Commission in October of each year. In addition, the agency should make every effort to establish and maintain a quality record-keeping program through the following activities:

- The agency should designate a records liaison, who is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the agency, coordinating the transfer and destruction of records, ensuring the permanent records held on alternative storage media (such as microfilms and digital imaging systems) are maintained in compliance with national and state standards, and ensuring the regular implementation of the agency’s approved RDA.
- Permanent records in the agency’s custody should be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.
- Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis – for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA’s provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena.
- The agency should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; (3) migrating all permanent records when the system is upgraded or replaced. If the agency chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records’ permanent preservation and accessibility.
- Electronic mail contains permanent, temporary, or transitory record information. Although e-mail records can be printed out, filed, and retained according to the RDA’s requirements, the division should preferably employ an electronic records management system capable of sorting e-mail into folders and archiving messages having long-term value.

- The staff of the State Records Commission or the Examiners of Public Accounts may examine the condition of the permanent records in the custody of the agency and inspect records destruction documentation. Government Records Division archivists are available to instruct the agency staff in RDA implementation and otherwise assist the agency in implementing its records management program.

The State Records Commission adopted this Records Disposition Authority on October 23, 2013.

Steve Murray, Chairman
State Records Commission

Date

Receipt acknowledged:

Patrick Harris, Secretary
Alabama Senate

Date